Alabama Bureau of Tourism and Travel

Functional Analysis & Records Disposition Authority

Presented to the State Records Commission October 25, 2000

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Functional and Organizational Analysis of the Alabama Bureau of Tourism and Travel

Sources of Information

Representatives of the Alabama Bureau of Tourism and Travel:

Cameron Reeder, Communications Division Ami Simpson, Communications Division Marilyn Townsend, Communications Division Russell Nolen, Communications Division Peggy Collins, Communications Division Francis Smiley, Group Travel Division Sandy Faulk, Administrative Division Sandra Whitehead, Personnel Division Leigh Cross, Finance Division

Code of Alabama 1975, Sections 41-7-1 through 41-7-5

Alabama Government Manual (1998)

GRD, Board of Tourism and Travel Records Retention Schedules

Holdings of ADAH

Government Records Division, State Agency Files (1989-ongoing)

Historical Context

On June 24, 1943, the legislature approved the Act that created the Division of Records and Reports of the Governor's Office. The division was responsible for promoting travel and tourism in Alabama. In 1951, the Division of Records and Reports of the Governor's Office was abolished and the State Bureau of Publicity and Information was created by the legislature. All of the previously authorized and allocated duties/functions of the now defunct Division of Records and Reports of the Governor's Office were transferred to and conferred upon the newly authorized bureau. The Bureau of Publicity and Information promoted travel and tourism throughout Alabama.

The originating act authorized the establishment of an advisory board that would advise and assist the director of the agency in the expedition of his/her duties. In 1984, the Bureau of Publicity and Information was legally abolished and its powers transferred to the newly created and authorized Alabama Bureau of Tourism and Travel. (Acts 1984, No. 84-273, p.459) The Bureau of Tourism and Travel was given exclusive power and authority to plan and conduct all state programs of information and publicity designed to attract tourists to Alabama.

Agency Organization

The Alabama Bureau of Tourism and Travel is headed by a director appointed by the governor. Assisting the director is an advisory board which includes the governor and fifteen other members. The members of the board are appointed by the governor from the following organizations: Alabama Chamber of Commerce, Alabama Hotel and Motel Association, Alabama Petroleum Council, Alabama Broadcasters Association, Alabama Press Association, Alabama Restaurant Association, Outdoor Advertising Association of Alabama, Public Relations Council of Alabama, and the Alabama Travel Council. Ex-officio members are appointed by the governor from the following organizations: Alabama Festivals and Events, Alabama Area and Regional Tourist Promotional Organizations, and the Alabama Association of Convention and Visitors Bureaus. The governor is ex-officio chairman of the board and the directors or commissioners of the following state agencies are ex-officio members: Department of Public Safety, Department of Transportation, and the Department of Conservation and Natural Resources. The agency operates eight welcome centers throughout the state. An organizational chart is attached.

Agency Function and Subfunctions

The mandated function of the Alabama Bureau of Tourism and Travel is to plan and conduct all state programs involving information and publicity that are designed to attract tourists to the State of Alabama. The bureau is one of the agencies primarily involved in carrying out the Economic Development function of Alabama government. In the performance of its mandated function, the bureau may engage in the following subfunctions:

- Publicizing and Promoting. The Code of Alabama 1975, Section 41-7-1, authorizes the bureau to gather and disseminate information that is essential to the creation of an awareness of the state's resources for tourism and business. The bureau plans and conducts programs of information and publicity designed to attract tourists and businesses to Alabama. The Bureau of Tourism and Travel is authorized to: initiate and execute plans for the promotion of tourism; cooperate and make requests for special area and statewide planning; plan and attend travel shows and activities of travel-related organizations; and enter into contracts and agreements with regional advertising and promotional agencies for the purpose of advertising the state. To attract business and industry, the Bureau of Tourism and Travel compiles promotional publications and operates eight welcome centers throughout the state.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support its programmatic areas including:

Managing the agency: Activities include internal office management activities common to most government agencies such as corresponding and communicating, scheduling, meeting, documenting policy and procedures, reporting, litigating, legislating (drafting, tracking), publicizing and providing information, managing records, and managing

information systems and technology.

Managing finances: Activities include budgeting (preparing and reviewing budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

Managing human resources: Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees such as leave, health insurance, unemployment compensation, worker's compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, granting leave, and monitoring the accumulation of leave; training and providing continuing education for employees; and disciplining.

Managing properties, facilities, and resources: Activities include inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; leasing and/or renting offices or facilities; providing security for property managed by the agency; insuring property; and assigning, inspecting and maintaining agency property, including vehicles.

Completed: October 2000

Attachment: Organizational Chart

Analysis of Record Keeping System and Records Appraisal of the Alabama Bureau of Tourism and Travel

Agency Record Keeping System

The Alabama Bureau of Tourism and Travel currently operates a hybrid record keeping system composed of paper and electronic records.

Paper-based Systems: Most of the agency's records are maintained in paper format and stored on-site.

Computer Systems: The bureau currently has a PC-based system made up of IBM AS400's with twenty-five individual work stations and two laptop computers. The bureau has an in-house server for email and is also on the state server. Databases are backed up each day on magnetic tape and stored on-site. The ten tapes are reused every two weeks for the corresponding day. The bureau has a web site at http://www.touralabama.org. Information on the site includes: tourist attractions, welcome center information, tourism statistics, press releases, and an overview of the agency. All information is also available in paper format.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Bureau of Tourism and Travel: Temporary Records and Permanent Records.

- **I. Temporary Records.** Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the agency are discussed below:
- Unimplemented Project Files. These records document various projects of the agency that were never implemented or completed. The information contained in these files involves projects that stalled either in a planning or research stage of development.
- Implemented Project Files. These records document the various projects of the agency that were implemented and completed. The information contained in these files may include, but is not limited to, work papers, forms, notes, and questionnaires. The information in these records can be found summarized in the final reports or publications of the agency, which are permanent records.
- **Proclamations, Commendations, and Appreciations.** These records document the actions of Alabama governors in recognizing the events and activities coordinated by the bureau. Permanent copies of these records are maintained in the Governor's Office.

- **Division Monthly Performance Reports.** These records are used to track division performance. Much of the information contained in these reports is duplicated in the quarterly and annual reports.
- **II. Permanent Records.** The Government Records Division recommends the following records as permanent.

Publicizing and Promoting:

- Resource Materials. These records are created and maintained to provide a visual sampling of the sites and cultural activities of Alabama for use in the promotion of tourism and travel in the state. The materials are created by the bureau or by a contracted advertising agency. Information available in these records includes: Alabama tourist attractions, historical sites, and cultural events which emphasize the characteristics of the state. Resources include, but are not limited to: photographic images, slides, transparencies, compact discs, and video recordings. The use of these materials is essential for the agency to perform its publicity subfunction and composes a valuable library of Alabama. (RDA page 3-2) (Bibliogrpahic Title: Publicity Materials About Sites and Cultural Activities)
- Informational and Promotional Publications. These publications document the agency's efforts in communicating with the public regarding tourist attractions, historic sites, accommodations, and other tourism related services. Publications include, but are not limited to, Alabama Official Vacation Guide, Calendar of Events, Group Travel Planner, Alabama Travelgram, and the Black Heritage Guide. The agency also produces a variety of advertising campaign materials, newsletters, press kits, brochures, press releases, and statistical reports. (RDA page 3-2) (Bibliographic Title: Informational Publications)
- **Director's Speeches.** These records document substantive actions and performance of the director and assistant director of the agency. The speeches document the agency's active role in promoting Alabama tourism, travel, history and cultural events. (RDA page 3-2) (Bibliographic Title: Speeches)
- Grant Final Reports. These records document the receiving and implementing of grants by the bureau for use in various projects and programs that promote business and tourism throughout the state. (RDA page 3-4) (Bibliographic Title: Final Reports of Grants)

Administering Internal Operations:

Administrative Correspondence. These records include correspondence with state officials, legal/advisory opinion correspondence, correspondence documenting between the advisory board and the director, correspondence from manager's meetings, and correspondence between the Bureau of Tourism and Travel and other state agencies. Because the records document the policies and procedures of the agency and how the it interacts with other agencies/boards, the records are deemed permanent. (RDA page 3-4) (Bibliographic Title: Administrative Correspondence)

- Annual Reports. The agency prepares an annual report to the governor. Contents of the annual report may include advisory board information, annual goals and objectives, operational reports, statistical reports, major project development, and statements of fund operation. Annual reports provide the best summary documentation of the agency's function and activities. (RDA page 3-4) (Bibliographic Title: Annual Reports)
- Minutes of the Advisory Board Meetings. The minutes are created to document actions taken at the meetings of the board. The minutes are permanent because they document the official actions of the board and its recommendations to the director of the agency. (RDA page 3-4) (Bibliographic Title: Meeting Minutes)
- Tourism Statistical Reports. These records document the agency's publicity subfunction through tourism research and economic development in the State of Alabama. Information available may include, but is not limited to: revenues, project development, and economic impact. (RDA page 3-4) (Bibliographic Title: Statistical Reports Documenting Tourism and Economic Development)

Completed: October 2000

Permanent Records List Alabama Bureau of Tourism and Travel

Publicizing and Promoting:

- 1. Resource Materials
- 2. Director's Speeches
- 3. Informational and Promotional Publications
- 4. Grant Final Reports

Administering Internal Operations:

- 1. Annual Reports
- 2. Administrative Correspondence
- 3. Minutes of the Advisory Board Meetings
- 4. Tourism Statistical Reports

Alabama Bureau of Tourism and Travel Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama Bureau of Tourism and Travel. The RDA lists records created and maintained by the Alabama Bureau of Tourism and Travel in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Under Code of Alabama 1975, Section 36-12-40, "every citizen has a right to inspect and take a copy of any public writing in this state, except as otherwise expressly provided by statute." Records must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Section 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama Bureau of Tourism and Travel records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records regardless of the medium on which those records may be kept.
- Electronic mail is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain other record-related materials need not be retained as records under the disposition requirements in this RDA. They may be disposed of in whatever way the agency determines best. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationary, blank forms, or other surplus materials

that are not subject to audit and have become obsolete, (4) transitory records, temporary records created for short-term internal purposes, may include, *but are not limited to*, telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about department social activities, such as a note to a group going to lunch.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alabama Bureau of Tourism and Travel and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

Publicizing and Promoting

RESOURCE MATERIALS

Disposition: PERMANENT RECORD.

INFORMATIONAL AND PROMOTIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

DIRECTOR'S SPEECHES

Disposition: PERMANENT RECORD.

Alabama Tourism Award Recipient Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Alabama Tourism Award Nominee Files

Disposition: Temporary Record. Retain 1 year after the end of the fiscal year in which the records were created.

Alabama Calendar of Events Forms

Disposition: Temporary Record. Retain 1 year after the end of the fiscal year in which the records were created.

Implemented Project Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Unimplemented Project Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Governor Appearance Request Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Proclamations, Commendations and Appreciations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Flag and Lapel Pin Registers

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Alabama Visitor Complaint Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Business Lead Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Welcome Center Traffic Sheets

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Welcome Center Brochure Inventories

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Welcome Center Reservation Sheets

Disposition: Temporary Record. Retain 1 year after the end of the fiscal year in which the records were created.

Welcome Center Registration Sheets

Disposition: Temporary Record. Retain 1 year after the end of the fiscal year in which the records were created.

Welcome Center Reservation Summaries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Welcome Center Brochure Approval Lists

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Writers Database (invitations, addresses, contact lists)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

GRANT FINAL REPORTS

Disposition: PERMANENT RECORD.

Grant Financial Records (not final reports)

Disposition: Temporary Record. Retain 6 years after submission of final report.

Administering Internal Operations

Managing the Agency:

ANNUAL REPORTS

Disposition: PERMANENT RECORD.

ADMINISTRATIVE CORRESPONDENCE

Disposition: PERMANENT RECORD.

MINUTES OF THE ADVISORY BOARD MEETINGS

Disposition: PERMANENT RECORD.

Advisory Board Member Listings/ Confirmations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Recordings of Advisory Board Meetings

Disposition: Temporary Record. Retain 1 year after the end of the fiscal year in which the minutes were approved.

TOURISM STATISTICAL REPORTS

Disposition: PERMANENT RECORD.

Agency Monthly and Quarterly Reports

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Emergency Management Files (includes emergency management manual)

Disposition: Temporary Record. Retain until superseded.

Division Monthly Performance Reports

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Division Monthly and Quarterly Statistical Reports (includes welcome center reports)

Disposition: Temporary Record. Retain 1 year after the end of the fiscal year in which the records were created.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency's RDA (copies of transmittals forms to Archives or State Records Center, evidence of records destroyed, annual reports to State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copies of Approved RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

Computer systems documentation (hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions, Y2K records)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

Managing Finances:

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers, and records of funds deposited outside the State Treasury

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses Disposition: Retain in office (Code of Alabama 1975, Section 41-16-24).

Audit Reports

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Managing Human Resources:

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Application Materials

Disposition: Temporary Record. Retain 1 year.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's work history - generally maintained as a case file Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Records documenting employees' daily and weekly work schedules

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's work history, generally maintained as a case file

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of final leave status (cumulative leave)

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Employee Flexible Benefits Plan Files

Disposition: Temporary Record. General information -- Retain until superseded.

Other (applications, correspondence) -- Retain 6 years.

State Employee Injury Compensation Trust Fund Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Managing Properties, Facilities, and Resources:

Semiannual Inventory Lists

Disposition: Retain in office. (Code of Alabama 1975, Section 36-16-8 [1]).

Transfer of State Property Forms (SD-1) (Agency copies)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Real Property Leasing/Renting Records

Disposition: Temporary Record. Retain 6 years after expiration of the lease.

Facilities/Building Security Records (including visitor logs)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Motor Pool Vehicle Use Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Building Maintenance Work Orders

Disposition: Temporary Record. Retain 1 year.

Approval of Records Disposition Authority

By signing this agreement the Alabama Bureau of Tourism and Travel acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Alabama Bureau of Tourism and Travel will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, submitting an annual report on records management activities to the State Records Commission in October of each year, and ensuring the regular implementation of the agency's approved RDA.
- Permanent records in the Alabama Bureau of Tourism and Travel's custody will be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis--for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The Alabama Bureau of Tourism and Travel should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Alabama Bureau of Tourism and Travel agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the agency and to inspect records destruction documentation. Government Records Division archivists are available to train the agency's staff in RDA implementation and otherwise assist the agency in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____

Mark Berson, Executive Director
Alabama Bureau of Tourism and Travel

By: _____ Date: _____

Edwin C. Bridges, Chairman
State Records Commission